Office of Information Technology

Project Portfolio Management Tool

Definitions

Table of Contents

Revision History

Revision #	Revision Date	Description of Change	Author
1	6/09/2005	Initial Document	S. Hayes
2.4	6/30/2005	Formatting changes	J. Tulenko
2.5	3/07/2006	Add Additional Project Info Tab Items	C. Richards
2.6	3/26/2006	Add Definitions of Status Tab Attributes	C. Richards
2.7	1/31/2007	Add Definitions of new Attributes	C. Richards
2.8	4/20/2007	Add comment about removal of service component model.	B. Swartz
2.9	8/31/2007	Remove service component reference model.	C. Richards
2.10	01/09/2008	Update labels on Project Info tab for Initiation Phase Budget and Planning Phase Budget	B. Swartz
2.11	01/29/2008	Update Phase Variance Percentage Dollars definitions and ETC Phase Dollars definition	C. Richards
2.12	03/28/2008	Added Definitions for new status tab fields (Initiation/Closeout hours), End Date, Planning and Design Phase Budget	C. Richards
2.13	9/10/2008	Updated definition of “Type of Project”	B. Swartz
2.14	12/16/2008	Added new Project Types and new Common Infrastructure Services	B. Swartz

1. Purpose

This document has been created to assist agency project managers and other users of the Project Portfolio Management (PPM) tool to understand the various fields and attributes found on the "**Project Info**" tab and the "**Status**" tab.

2. Project Info Tab Definitions

Notes on formatting for Project Info tab definitions:

Italicized – Used to identify a field (or "attribute") found on the Project Info tab

***BOLD* –** Used to identify a field or attachment required to be completed to move from one Gate to another.

"**" – Denotes a required field to INITIALLY add a project

2.1 Project Information

Project Name –** Name of the IT Project.

***Start Date** -** Actual beginning date of the IT project (initiation).

***End Date** –** Actual ending date of the IT project (initiation through closeout). Should be equal to the End Date of the Project Closeout Phase.

***Creation Date* – Generated by tool.** Date project created in the tool -

Workflow Status – Phase of the State of North Carolina PPM workflow the project is currently in.

Fixed End Date **– Not required at this time.** Fixed End Date is a constraint, "the project must end no earlier than" used in the portfolio planner for scheduling of projects.

Fixed Start Date – **Not required at this time.** Fixed Start Date is a constraint, "the project must start no earlier than" used in the portfolio planner for scheduling of projects.

Benefits Start Date – This date refers to when the project will start realizing the financial benefits included in the "Benefit Estimates" tab.

Capitalization Period – The amount of time for which Operations & Maintenance costs need to be added to the total cost of the project. This is usually 60 months (5 years).

***Project ID* – Generated by tool.** Unique ID# for the IT project.

Agency Project ID – An identification number used internally at an agency.

Project (Investment) Range –** Estimated Investment cost = Project Cost (Initiation thru Closeout Phase) + 5 years Operations and Maintenance. **Drop down box: <$100k, $100K - $500K, $500K - $3M, > $3M, Expansion Budget Request, IT Plan, Part of Program < $500,000.**

Project (Investment) Range Level of Confidence – percentage level of confidence with the estimated Investment Range. **Drop down box – choose a percentage range.**

Type of Project – Select all that apply**

Project Type Definitions:

Infrastructure

Infrastructure projects are the sum of all tasks, activities, resources and deliverables necessary to build commonly supported tools, techniques, and environments shared by multiple applications and needed by multiple applications in order to operate properly. Examples of infrastructure include operating systems (e.g. MVS, Windows, Linux, Solaris), networks, TCP/IP and security.

Feasibility Study

Feasibility study is the sum of all tasks, activities, resources, and deliverables necessary to conduct a preliminary investigation to determine if project or program is a good financial investment. The feasibility study can also be used to determine if a software product, hardware environment or infrastructure is worth the agency investing money to perform upgrades.

Hardware Implementation

Hardware implementation projects are the sum of all tasks, activities, resources, and deliverables necessary to build out new IT hardware to support IT applications or IT infrastructure.

Software Development

Software development projects are the sum of all tasks, activities, resources, and deliverables necessary to build or upgrade a software product to provide new functionality or enhanced functionality to a new or existing application system.

COTS Less Than 20% Modification

Commercial off the Shelf (COTS) application can be purchased and implemented with the vendor making customizations amounting to 20% or less of the total software package. This includes the sum of all task, activities, resources, and deliverables necessary to purchase, modify, and implement the software into production.

COTS Greater Than 20% Modification
Commercial off the Shelf (COTS) application than can be purchased and implemented with the vendor making customizations amounting to over 20% of the total software package. This includes the sum of all task, activities, resources, and deliverables necessary to purchase, modify, and implement the software into production.

Planning – Strategic / Tactical
The Planning project includes the sum of all tasks, activities, resources, and deliverables necessary to developing business, program and technology strategic / tactical directions and policies for an agency IT project or program.

Strategic Planning is the process of defining strategy, or direction, and making decisions on how the agency should proceed with the project or program. The output of a strategic planning project would be a formal document containing recommended goals, objectives and high level timeframes to be used for management decisions.

Tactical Planning is the process of taking the strategic plan and breaking it down into multiple short term projects with specific goals, scope, task, and timelines.

IT Plan
The Agency IT Plan that is submitted to the SCIO via the Project Portfolio Management tool that describes the agency IT accomplishments for the past two years and the agency IT plan for the next two years in its drive to better manage information technology for the agency.

Information on the IT Plan can be found on the SCIO website under Statewide IT Plan.

IT Business Enabler
Information Technology (IT) Business Enabler projects are the sum of all tasks, activities, resources, and deliverables necessary to implement IT framework and IT process reengineering where IT departments implement agency process. (e.g. ITIL, PMI methodology) to transform the agency and improve the supportability and efficiency of the customer environments.

Software as a Service (SaaS)
Software as a Service (SaaS) is the sum of all tasks, activities, resources, and deliverables to implement a Software as a Service business model. Software as a Service is where the application is not installed on the customer computers or the customers IT environment. SaaS allows the customer to use the vendor software application without purchasing the software, installing IT environments, or customizing the source code.

Key Points:

- SaaS applications are usually priced on a per user basis

- Vendor software changes are rolled out to all customers instead of customer customized modifications
- Typically hosted at the vendor site or a 3rd party partner
- Vendors will entertain software modifications suggestions if the modification is beneficial to their product and will enhance the application for all customers
- Needs to meet the state security requirements and PII requirements

Pilot

A pilot is the sum of all tasks, activities, resources, and deliverables to deploy new software, hardware, or infrastructure to a selected group of users within the agency organization. The pilot needs to have a good sampling of users to give an assessment of how a full implementation will be delivered.

Pilot approaches:

- Proof of Concept
- Limited Production
- Prototype

Statewide Implementation

Statewide Implementation is the sum of all tasks, activities, resources, and deliverables to deploy software, hardware, or infrastructure throughout the state of North Carolina.

Budget Code – Enter the appropriate accounting code(s).

Initiation Phase Budget – the estimated $ amount that will be spent on the project completing the requirements for Phase 1: Project Initiation.

Planning and Design Phase Budget – the estimated $ amount that will be spent on the project completing the requirements for Phase 2: Planning & Design. The value in this field is the dollar amount the project is approved to spend in Planning & Design.

***Department or Agency* – Drop down box –** Select your agency.

Division – Name of the Division within the Agency.

Is Project Part of an Approved Program? Select Yes or No. If yes, go to the Project Associations link at the top right side of the Project Info tab and associate the project with the correct program. Click Program Associations, Click Add. Select Program Name, Select "Linked To". Click Update.

Project Manager Name – Name of the Project Manager assigned to the IT project.

Project Manager Telephone – Telephone number of the Project Manager assigned to the IT project.

Project Manager E-mail – E-mail address of the Project Manager assigned to the IT project.

Project Security Contact – Name of the Agency Project Security Contact assigned to the IT project.

Project Sponsor** – Name of the person who will be sponsoring the IT project.

Project Sponsor Organization – Name of the Division within the Agency that the Sponsor works.

2.2 Budget Information

For this fiscal year, are funds currently budgeted for this project? – **Drop Down Box – Yes or No –** This is in reference to funding for the project

For Fiscal Year, if Yes, please reference the applicable budget codes and fund codes. If no, what is your plan to secure funding? – Type in the budget codes and fund codes that are associated with this project. If funds are not currently budgeted for this project explain how they will be obtained (attach a document on Document Management tab if necessary).

Example:

- **Budget Code – 14410**
- **Fund Code – 1411**

For the total scope of the project, are funds currently budgeted? - **Drop Down Box – Yes or No –** Are funds budgeted for the entire project?

For Total Scope, if yes, please reference the applicable budget codes and funds. If no, what is your plan to secure funding? - Type in the budget codes and fund codes that are associated with this project. If funds are not currently budgeted for this project explain how they will be obtained (attach a document on Document Management tab if necessary).

Example:

- **Budget Code – 14410**
- **Fund Code – 1411**

Expansion Budget Request** **– Drop Down Box – Yes or No.** Has an Expansion Budget Request been submitted to fund this project?

New Expansion Budget $ Required in Year 1 – If Expansion Budget Request equals yes, enter the amount requested for year 1 of this project.

New Expansion Budget $ Required in Year 2 – If Expansion Budget Request equals yes, enter the amount requested for year 2 of this project.

***Contributor* -** This field lists all users who will have "write" access to this project (for adding information to the project).

Project Reviewer – User who has Read-Only access to this project.

***PMA* -** This field lists the PMA who is assigned to this project.

***Assigned PMA* –** Same as PMA

2.3 Initiation Phase

***Business Issues* –** Describe what business factors led to the proposal of this project. These may be issues (any matters that require resolution), opportunities (e.g. potential for improved service or reduced cost) or mandates (state or federal).

- Only list the primary issue(s) / opportunity (ies), usually not more than a few for a single project
- Briefly state why each issue / opportunity is of concern to your agency

Examples:

- Excessive number of customer complaints has resulted in poor public image and excessive support work.
- There is a specific problem with accidents caused by median crossover. The agency has established the effectiveness of a technology that can improve this situation.
- Satisfying this federal mandate will bring the state in compliance with federal pollution control standards. Failure to meet it will result in consequences for the State.

***Business Goals* -** What will this project achieve at a business level? The Business Goals specifically define those outcomes through which the Project Mission will be accomplished. A single project may have multiple Business Goals.

- The Business Goal(s) ultimately justify the project.
- Strive for quality, not quantity in identifying Business Goals.
- Project objectives and Business Goals are not the same. It may not be possible to determine if a Business Goal has been met until long after the project is completed. For example, a project may implement a new web-based service on time and within budget (project success), but it may take months more before the customer-base adopts the new service (business success).

Examples:

- The agency intends to improve customer service and thereby reduce the number of customer complaints, improve the agency's public image, reduce support work and reassign some support staff to more productive work.
- Improve public safety by reducing the number of annual roadway deaths and injuries caused by median crossovers.

- Compliance with new federal guidelines will improve pollution control standards and secondarily allow the state to continue receiving an important source of federal funding.

Project Goals – The Project Goal is delivery of subsystem that will allow achievement of the Business Goals. Consider the following guidelines for preparing the Project Goals:

- Answer the following questions:
  - What is the overall goal of the project?
  - Why is it being done?
  - How will this goal be met?
  - Who will this project benefit?
  - Keep it short and simple – one sentence is best, three or four may be too many.
  - Do not include statements about the project deliverables or business requirements in the project goals – this information will be defined later in other sections.
  -

  <u>Examples:</u>
  - Provide driver license renewal over the Internet. Therefore, providing ease of use for citizens.
  - Install digital cameras at dangerous intersections in order to record those who violate traffic laws. Thereby, providing ability to prosecute.
  - Install a new safety inspection scheduling system. Thereby meeting the federal guidelines for safety inspections.

Project Deliverables - Consider the following guidelines:

- Project Deliverables are those products or services that will result from work on this project. Examples: implementation of software and/or hardware; training; documentation; new or improved business process; changes to the organization; a new or improved service.
- Keep the list short – perhaps no more than five to eight major deliverables. Remember that you're only documenting high-level deliverables during this phase – detailed deliverables will be defined later in the Planning phase.
- Review information provided by the Client (Business) in their Project Request – this will provide a good start for defining project deliverables.
- Deliverables must be aligned with the project's Goals. If deliverables are not clearly connected to the Goals, you will confuse reviewers on what the project aims to accomplish.
- Sometimes the project is a feasibility study. The client may require this type of project as an intermediate step to help justify a larger, more complex systems implementation or development initiative. In this case, the "deliverables" may be a single report that assesses parameters and implementation consideration for the subsequent project phase.

Items out of scope (scope exclusions) – Sometimes, the Client and/or the IT Project Manager need to clarify selected specific items that will be excluded from the scope of work. Logic dictates that if a particular deliverable is not included in the Project Deliverables list, it is not part of the project scope. However, it's sometimes helpful to eliminate any ambiguity or uncertainty by specifically stating any defined exclusions. (e.g., the project is already being hosted by XXXX and does not have any additional hosting requirements)

Proposed Strategy – The proposed strategy may be viewed as a preliminary, high-level work plan – a summary of the major tasks to be performed and a brief explanation of how each task will be executed. For example, the Proposed Strategy might include mention of Project Plan, Discovery (acquire requirements), RFP, contract, design, specification, build or configure, test, training, rollout, etc. and brief statement about each.

High Level Assumptions and constraints – Every project is based on some Assumptions and most projects have one or more Constraints. List any Assumptions (hosting at ITS) and Constraints (e.g., money) that may be of significance to those individuals who will review this information.

Key Dependencies external to the Project – Is the success of this project dependent upon delivery of some product or service that is outside the control of the project team? Is any other project depending upon the timely delivery of a product or service from this project? If yes, list them here.

Project Organization and Roles – This section features a project organization chart – a graphic identifying the resources assigned to the IT project team and showing reporting relationships for these individuals. The organization chart also includes other individuals and groups that may be involved in the project (i.e., steering committee, quality assurance staff, and /or miscellaneous stakeholder groups) and details their respective link or relationship to the project team.

2.4 Enterprise Architecture Questionnaire

[Drop Down Boxes – choose the answer(s) that best describe your IT project.]

1. Select Common Shared Technical Infrastructure and Services that will be utilized by this system.

Definition: The list provided generically specifies a partial list of the enterprise class services offered by ITS. These services must be utilized for enterprise class systems. Please select all applicable services that will be used in the implementation of this system. Refer to the ITS Service Catalog website for a more complete description of listed services.

- Hosting
- NCMail
- NCID
- Common Payment Service
- Network
- Service Broker
- Disaster Recovery
- Firewall
- Enterprise Call Center
- iWise Service
- Enterprise Licensing
- ITS Document Management Service

2. Will this project replace or enhance an existing system?

Definition: Specify “Yes” if the purpose of this project is to replace or enhance all or a portion of an existing production system.

3. Will this project include security enhancements for an existing system?

Definition: Specify “Yes” if all or part of the purpose of this project is to improve the security of an existing system.

4. Which clients will access this system via the Internet?

Definition: Employees may access a system from their office, at home (e.g. telecommuting), or from remote locations (e.g. mobile workers). Citizens may access the system from any location. Businesses (i.e. employees of businesses) may also access systems via the Internet in the certain cases (e.g. established extranet business relations). If any of these cases (or similar situations are true), then the appropriate values should be selected.

5. Which clients will require login functionality?

Definition: In addition to accessing the system via the Internet (or Intranet), for security reasons, people utilizing the system may need login functionality. If this is the case for this system, then the appropriate values should be selected.

6. Is this system required to comply with federal or state privacy laws?

Definition: Some systems have to comply with state and/or federal regulations. Examples include the Health Information Portability and Accountability Act (HIPAA) and the Family Education Rights and Privacy Act (FERPA). Normally these systems require more security mechanisms be in place to ensure compliance. If this is the case for this system, then the appropriate values should be selected. If “Other” is selected, then additional information will be requested at a later date.

7. Will this system interface with State Business Infrastructure Systems?

Definition: Interfacing with the State Business Infrastructure Systems is a critical component of any system being implemented by the state. Over the next several years many of the states infrastructure systems will be updated. If this system needs to interface with any of the systems then the appropriate values should be selected.

8. Which entities will this system integrate with?

Definition: Integration with other systems is a key design point for new systems. It must be considered early in the design stage. This integration may be within an agency, inter-agency, inter-governmental, or government to business in nature. If this is the case for this system, then the appropriate values should be selected.

9. Which staffing approach will be utilized to deliver this system?

Definition: Proper project staffing is critical to system success. Skill levels, expertise, and experience, as well as resource load are all important factors. Select all options that apply.

10. How will the functionality for this system be delivered?

Definition: Incremental implementation of a system is most often the best method to deliver system functionality. However in some cases, systems must be implemented holistically (e.g. at the beginning of a fiscal year). Select the option that best applies.

11. What approach will be utilized prior to production rollout?

- Proof of Concept – Software written to gather requirements, prove or test a technology, language, environment, or approach. A proof of concept should not be implemented as a production system.
- Prototype – A small working version of a proposed system used to gather requirements, validate requirements, or demonstrate system functionality.
- Pilot – An approach designed to evaluate a preliminary version of a system in a simulated production environment.
- Limited Production – A production system is rolled out to a predetermined subset of users and proven to perform as expected.
- Not Applicable – No pre-production rollout activities will be conducted.

2.5 Security Questions

Will your project accept credit cards? If so, then the system must be PCI compliant prior to implementation and usage of the CPS offered by OSC should be utilized.

Definition: Any projects that will incorporate the use of credit cards must become PCI compliant prior to implementation.

As a result of the project will there be collection and/or storage of Personal/Confidential data? If so, choose which data.

Choose the type of personal/confidential data that will be collected. Multiple selection is allowed.

2.6 Additional Project Information

***Alternative Analysis (complete only if investment cost > $10M*) –** Form can be found on EPMO website under Forms and Templates.

Project Manager Interview (to be completed by EPMO)

***System Design Document Status* – drop down box.**

***Agency Document Checklist* -** Document templates can be found in the PPM Tool NC Specific Help section or on the EPMO website. A copy of each checked document must be attached to the Document Management tab for review.

3 Status Tab Definitions

Indicators

Eight Project Indicators (See Project Status Indicator Guidelines for definitions):

- Overall
- Project Funding (TCO)
- Phase Cost
- Project Scope
- Phase Milestones
- Project Staff Utilization
- Project Issue and Risk Management
- Monthly Status Reporting

Project Progress

Schedule Complete Actual – This value comes from the Schedule Tab and is updated by the Project Manager. The Project Manager should use an objective measurement of how much work is completed on the project in order to derive this number. (This field is updated by the Project Manager)

Schedule Complete Planned – This field is calculated by PPM Tool using the following:

(Start Date **-** Today's Date) **/** (Start Date **-** End Date)

These values come from the Project Info tab

Work Complete Actual (***Not using this field yet)*** – This field is calculated by PPM Tool using the following:

Actual Work Year to Date **/** Revised Budget All Years

These values are from the Resource Tracking tab

*Work Complete Planned (**Not using this field yet)*** – This field is calculated by PPM Tool using the following:

Revised Budget PTD **/** Revised Budget All Years

These values are from the Resource Tracking tab

Cost Complete Actual – This field is calculated by PPM Tool using the following:

Actual Total Cost (TC) **/** Revised Budget TC

These values are from the Total Investment Cost line on the Cost Tracking tab

Cost Complete Planned – This field is calculated by PPM Tool using the following:

Revised Budget to Date **/** Revised Budget TC

These values are from the Total Investment Cost line on the Cost Tracking tab

Overall Health Description – This field is populated by copying the comments for the "Overall" project indicator, after the project's monthly status report.

Overall Project Hours Cost

Project Month Actual Hours – This field is the sum of the actual hours spent on the project in all phases for the current month. The PPM Tool adds up all Phase Month Actual Hours entered in each phase specific section of the Status tab. (This field is calculated by PPM Tool)

Project Month Plan Hours - This field is the sum of the hours that were planned to be spent on the project in all phases for the current month. The PPM Tool adds up all Phase Month Planned Hours entered in each phase specific section of the Status tab. (This field is calculated by PPM Tool)

Project to Date Actual Hours – This field is the sum of the hours that were spent on the project to date. The PPM Tool adds up all Phase to Date Actual Hours spent on the project from each phase specific section of the Status tab. (This field is calculated by PPM Tool)

Project to Date Plan Hours – This field is the sum of the hours that were planned to be spent on the project to date. The PPM Tool adds up all Phase to Date Plan Hours for the project from each phase specific section of the Status tab. (This field is calculated by PPM Tool)

Project to Date Variance Hours – This field is calculated by PPM Tool using the following:

(Project to Date Actual Hours **-** Project to Date Plan Hours**) /** Project to Date Plan Hours

Initiation Phase Cost

Hours

Phase Actual Hours – The actual hours spent during Initiation on this project.

Phase Cost (These fields are repeated for each phase: Planning & Design, Execution & Build, Implementation, and Project Closeout Phase Cost)

Hours

Phase Month Actual Hours – The actual hours spent on the project for the month (This field is updated by the Project Manager).

Phase Month Plan Hours – The hours that were planned to be spent on the project for the month (This field is updated by the Project Manager).

Phase to Date Actual Hours – The actual hours spent on the project in a certain phase to date (This field is updated by the Project Manager).

Phase to Date Plan Hours – The hours that were planned to have been spent on project in a certain phase to date. (This field is updated by the Project Manager)

Estimate to Complete Phase Hours – The estimated hours needed to complete the work on a phase. This field is calculated by taking Total Phase Estimated Hours and subtracting the Phase to Date Actual Hours. (This field is calculated by PPM Tool)

Total Phase Estimated Hours – The hours estimated to complete all the work in a phase. (This field is updated by the Project Manager)

Total Approved Phase Hours – The total hours that were approved for the current phase. (This field is updated by the Project Manager)

Phase Variance Percentage Hours – The variance between the Total Phase Estimated Hours and the Total Approved Phase Hours. This is calculated by subtracting the Total Approved Phase Hours from the Total Phase Estimated Hours and then dividing by the Total Approved Phase Hours. (This field is calculated by PPM Tool)

Dollars

Estimate to Complete Phase Dollars – The estimated dollars needed to complete the phase (Total of all future months on the Cost Forecast tab). This is calculated by subtracting the **Forecast Cost to Date** (Level 3) from the **Forecast Cost TC** (Level 3). (This field is calculated by PPM Tool)

Phase Variance Percentage Dollars – The variance percentage between the expected cost of the phase (Phase to Date Actual Cost (from Cost Tracking tab) plus the Estimate to Complete (ETC) for the Phase) and the Total Approved Phase Budget Dollars (from Status tab). This value is calculated by adding '**Actual Cost to Date**' and '**ETC**', dividing by the '**Total Approved Phase Budget Dollars**'; subtracting **1** and then multiplying by **100** to get a percentage. (This field is calculated by PPM Tool)

Total Approved Phase Budget Dollars – The total dollars approved for this phase. This should match the Revised Budget Cost for the current phase. (This field is updated by the Project Manager)

Project Closeout Phase Cost

Hours

Phase Projected Hours – The total hours that are **projected** to be spent on this project to complete the Project Closeout phase.

Business Functional Requirements (Scope)

Original Number Business Functional Requirements – The original number of business functional requirements within the scope of this project.

Total Number of Submitted Changes – The number of changes to the original number of business functional requirements submitted.

Total Number of Approved Changes – The total number of changes to the original number of business functional requirements that were approved.

Current Number Business Functional Requirements – The number of business functional requirements within the scope of this project including the approved changes.

Will all business functional requirements be delivered? - Drop Down Box – Yes or No

Project Status Report Step

Preliminary – Denotes the project manager is working on the current status report

Agency Review – This step is agency specific. In some agencies, the PM's supervisor may review the status report before having the PM send it to the EPMO QA staff, in other agencies; the PMO office may review it before it is sent to the EPMO QA staff.

QA Review – Denotes that the PM is ready to have the status report reviewed by EPMO QA.
QA Project Assessment Finalized – Denotes that EPMO QA has finished the monthly status report.

Accomplishments this Period – Comment on each item that was listed in last month's "Plans for Next Period".

Plans for Next Period – What major accomplishments are planned to be achieved during the next status reporting period.